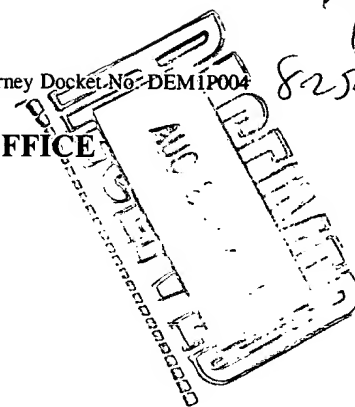




Attorney Docket No. DEMIP004

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE



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82503

In the Patent Application of: **DELURGIO et al.**

Serial No. : **09/741,957**

Art Unit: 3629

Filed: **December 20, 2000**

Examiner: Cosimano, Edward R.

For: **FINANCIAL MODEL ENGINE**

Mail Stop: Non-Fee Amendment  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

**Certificate of Mailing**

I hereby certify that this correspondence is being deposited with the United States Postal Service as First Class Mail to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on August 15, 2003.

**August 15, 2003**

Signed: \_\_\_\_\_

Kang S. Lim

Dear Sirs:

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**AUG 20 2003**

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**INFORMATION DISCLOSURE STATEMENT FILED**

**UNDER 37 C.F.R. §§ 1.56 AND 1.97(b)**

Pursuant to 37 C.F.R. § 1.56, Applicants bring the following documents to the Examiner's attention in the referenced application.

Citation of the above documents shall not be construed as an admission that the documents are necessarily prior art with respect to the referenced application. Furthermore, citation of the above documents shall not be construed as a representation that a search has been made or an admission that the information cited herein is, or is considered to be, material to patentability as defined in 37 C.F.R. § 1.56(b).

Pursuant to 37 C.F.R. § 1.97, this Information Disclosure Statement is being submitted under one of the following (as indicated by an "X" to the left of the appropriate paragraph):

X 37 C.F.R. § 1.97(b). This Information Disclosure Statement is: (i) filed within three (3)

months of the filing date of the above-referenced application, (ii) believed to be filed before the mailing date of a first Office Action on the merits or, (iii) believed to be filed before the mailing of a first Office Action after the filing of a Request for Continued Examination under §1.114. Accordingly, it is believed that no fees are due in connection with the filing of this Information Disclosure Statement.

- \_\_\_ 37 C.F.R. § 1.97(c). This Information Disclosure Statement is filed after the period specified in C.F.R § 1.97(b), but before the mailing date of either (i) a final action under § 1.113 or, (ii) a notice of allowance under § 1.311.
- \_\_\_ A certification pursuant to 37 C.F.R. §1.97(e) or
- \_\_\_ A check for \$180.00 for the fee under 37 C.F.R. § 1.17(p).

If the Examiner has any questions or comments with respect to the present application, the Examiner is respectfully invited to telephone the undersigned at (925) 570 8198.

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Respectfully submitted,



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ATTY. DOCKET NO.  
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SERIAL NO.  
09/741,957

APPLICANT

DELURGIO

FILING DATE  
12/20/00

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## U.S. PATENT DOCUMENTS

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## FOREIGN PATENT DOCUMENTS

[illegible]

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

	CA		"PCT International Search Report", Application Number PCT/US02/36710, mailed July 21, 2003.
	CB		YOEMAN, JOHN CORNELIUS JR., "The Optimal Offering Price for Underwritten Securities", 1993, Volume 55/01-A of Dissertation Abstracts International, Page 4743 (Abstract Only).

EXAMINER

DATE CONSIDERED

**\*EXAMINER:** Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.